

<b>Interview Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/377,402	AKIFUJI ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	Susanna M. Diaz	3623	

All participants (applicant, applicant's representative, PTO personnel):

(1) Susanna M. Diaz (Examiner). (3) \_\_\_\_\_.

(2) Hung Bui (Reg. No. 40,415). (4) \_\_\_\_\_.

Date of Interview: 05 September 2003.

Type: a) ☐ Telephonic b) ☐ Video Conference  
c) ☒ Personal [copy given to: 1) ☐ applicant 2) ☒ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☒ No.  
If Yes, brief description: \_\_\_\_\_.

Claim(s) discussed: 1,5,12,17-26

Identification of prior art discussed: Flores et al. (U.S. Pat. No. 6,073,009); Reid (U.S. Patent No. 5,842,449); Official Notice

Agreement with respect to the claims f) ☒ was reached. g) ☐ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: See Continuation Sheet.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN ONE MONTH FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.

Susanna Diaz  
Examiner's signature, if required

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

#### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

##### Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

##### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

#### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

Continuation of Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments:

Applicant's representative explained the differences between the claimed invention and the cited references. ~~Exp~~ The Examiner agreed that the existing art rejection ~~did~~ does not adequately address the claimed invention. Examiner agreed to enter the proposed amendment (attached) since it merely clarifies the claimed invention. Assuming the proposed amendment (attached) is submitted, finality will be withdrawn and a new art rejection or allowance will be issued.

**PROPOSED CHANGES TO CLAIMS:**

This listing of claims will replace all prior versions, and listings, of claims in the application:

**Claim 1 (Currently Amended):** A workflow control method in a workflow system connected to a plurality of client computers for carrying out business procedures each comprising a plurality of related business processes, at least one of the business procedures being allowed to execute some of the related business processes simultaneously, said workflow control method comprising the steps of:

previously defining in a definition table an abnormal status change to be detected in related business processes which are allowed to be executed simultaneously with each other by said client computers;

detecting an occurrence of an said abnormal status change in one of the plurality of related business processes based on said definition table;

selecting at least one user who ~~is in charge of~~ has been already ordered to execute a business process interdependent to the business process in which the abnormal status change was detected; and

notifying a client computer corresponding to a the selected user of the occurrence of abnormality in the related business process so as to prevent the selected user from executing the interdependent business process.

**Claim 5 (Currently Amended):** A workflow system connected to a plurality of client computers for executing business procedures each including a plurality of related business processes, at least one of the business procedures

being allowed to execute some of the related business processes simultaneously, comprising:

a definition table for defining an abnormal status change to be detected in related business processes which are allowed to be executed simultaneously;

a status watcher for detecting a status change in a business process being executed, including an occurrence of an abnormal status change ~~in the business process~~defined in said definition table;

a workflow engine connected to the status watcher, for controlling the execution of each of the business procedures based on the status change detected by the status watcher and predetermined business procedure definitions; and

a notifier for notifying at least one of the client computers of the occurrence of the abnormal status change detected by the status watcher, when the user of the client computer ~~is in charge of~~has been already ordered to execute a business process interdependent to a business process in which the abnormal status change was detected, so as to prevent the user from executing the interdependent business process.

**Claim 12 (Currently Amended):** A workflow management system for controlling an order of execution of business procedures each including a plurality of related business processes and at least one business procedure being allowed to execute some of the related business processes simultaneously, said workflow management system comprising:

a client application to be executed by one or more client computers;

a server application to be executed by a server computer for communicating with the client application;

an application database for storing data for the server application;

a definition table for defining an abnormal status change including a discontinuance in a business process to be detected in related business processes which are allowed to be executed simultaneously;

a status watcher for detecting a status change in a business process being ~~executed~~stored in the application database, including an occurrence of a ~~discontinuance in a business process~~an abnormal status change defined in said definition table;

a workflow engine for controlling the execution of each of the business procedures based on the status change detected by the status watcher and predetermined business procedure definitions; and

a notifier for notifying the occurrence of a discontinuance in the business process to at least one of the client computers, when a user of the client computer is ~~in charge of~~has been already ordered to execute a business process interdependent to the business process in which the discontinuance was detected, so as to prevent the user from executing the interdependent business process.

**Claim 17 (Currently Amended):** A workflow management system connected to a plurality of client computers for controlling an order of execution of business procedures each including a plurality of related business processes and at

least one business procedure being allowed to execute some of the related business processes simultaneously, said workflow management system comprising:

means for defining abnormal status changes including a discontinuance in a business process to be detected in related business processes which are allowed to be executed simultaneously with each other by the client computers;

a status watcher configured to detect a status change in a business process being executed, including an occurrence of a discontinuance in a business process, among the related business processes executed simultaneously;

a workflow engine configured to control the execution of each of the business procedures based on the status change detected by the status watcher and predetermined business procedure definitions; and

a notifier configured to notify the occurrence of a discontinuance in the business process to at least one of the client computers, when a user of the client computer ~~is in charge of~~ has been already ordered to execute a business process interdependent to the business process in which the discontinuance was detected, so as to prevent the user from executing the interdependent business process.

**Claim 18 (Previously Presented):** The workflow management system according to claim 17, further comprising a resource selector configured to receive an instruction and an identifier of the business process on which the discontinuance was detected from the workflow engine, and select the client computer to be notified of the discontinuance by referring predetermined rules previously defining the relation between predetermined business procedures and client computers.

**Claim 19 (Previously Presented):** The workflow management system according to claim 18, wherein the status watcher, the workflow engine, the notifier and the resource selector are individual programs executed concurrently to control the execution of each of the business procedures.

**Claim 20 (Previously Presented):** The workflow management system according to claim 17, further comprising:

an exception handler unit configured to create attributes to handle the discontinuance of the business process detected by the status watcher; and

a user retrieval unit configured to select the user of the client computer who is in charge of a business process interdependent to the business process in which the discontinuance was detected by the status watcher.